

ATTORNEY DOCKET NO.: D765500001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:  
Sean Egan

Group Art Unit: 2764

Examiner: M. Kemper

Serial No.: 09/418,184

Filed: October 12, 1999

For: SYSTEM AND METHOD FOR ASSIGNING RATINGS TO MUTUAL FUNDS AND  
OTHER INVESTMENT FUNDS BASED ON THE VALUE OF VARIOUS FUTURE AND  
OPTION SECURITIES

Assistant Commissioner for Patents  
Washington, D.C. 20231

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180.00 DP  
60.00 DP

Dec. 27, 2000  
Ramona March  
Ramona March

**INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER**

Dear Sir:

Enclosed herewith is an Information Disclosure Statement pursuant to 37 CFR. § 1.56 in  
connection with the above-identified application, which statement is being filed:

- ☐ Together with the present application.
- ☐ Before the first Office Action on the merits or three (3) months from the filing date of this application, whichever occurs last. [37 CFR § 1.97(b)]
- ☒ After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]

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- ☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

- ☐ No separate requirements are needed.
- ☐ No additional fee is required.
- ☒ **Fee Under 37 CFR § 1.97(c)**

The fee of \$240.00 for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.

- ☐ **Petition Under 37 CFR § 1.97(d)**

This is a petition requesting consideration of an IDS under § 1.97(d). The petition fee of \$130.00 set forth in § 1.17(i)(1) accompanies this petition.

- ☐ **Certification Under 37 CFR § 1.97(e)**

- ☐ Each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
- ☐ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this statement.

**Provision of Copies of References**

- ☒ A copy of each of the references listed on the attached Form PTO-1449 is enclosed herewith and forms a part hereof.

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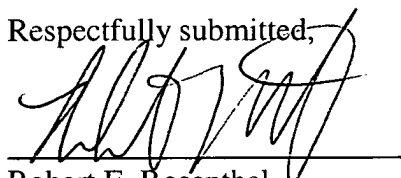
- ☐ A partial translation of Reference \_\_\_\_ is enclosed herewith and forms a part hereof.
- ☐ A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.
- ☐ A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.

**Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted**

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior U.S. Application No(s). \_\_\_\_\_ filed \_\_\_\_\_. The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application:
- ☒ The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to Deposit Account No. 04-1679. A duplicate copy of this transmittal is attached.

Date: 12/27/00

Respectfully submitted,



Robert E. Rosenthal  
Registration No. 33,450

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